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SOME CONCEPTS FOR BETTER LEADERSHIP

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**HUMAN RELATIONS: SOME CONCEPTS FOR BETTER LEADERSHIP**

by

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## PREFACE

This paper is an outgrowth of a stimulating course in Human Relations in the Navy Graduate Financial Management Program at The George Washington University. Through this I became poignantly interested in the subject of people, their needs, desires, emotions and basic drives. I rediscovered the need to work with, instead of against, human nature and the need for creating every individual as a human being. What I have learned I am attempting to pass on to others.

An indebtedness to a man who has contributed to one's education cannot be fully perceived. My special debt is to Dr. A. Rex Johnson, Director of the Navy Graduate Financial Management Program at The George Washington University.

I am especially grateful to Miss Helen McNulta, Assistant to the Director of the Navy Graduate Financial Management Program, who gave unselfishly of her time, and whose many suggestions greatly improved this paper.

Finally, I express my appreciation to my wife, Pat, who had a share in this effort. For her patience, endurance, willingness to work, and in the process practiced some good human relations, I dedicate this paper.



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## INTRODUCTION

The Navy of today is a maze of electronics and nucleonics, supersonic aircraft, underwater missile launching submarines and most important, human beings. The Navy, its sister services, and industry are passing through a technological revolution never before evidenced by man. Within the last few years atomic powered submarines have become the nucleus of the Navy's arsenal; nuclear powered submarines have remained submerged for periods of at least 60 days, they have circled the globe without refueling and have traversed previously unperturbed waters en route to the North Pole. More recently the Navy and its sister services have been called upon to provide the personnel to man this country's vehicles in the exploration of outer space. In the next decade, the Navy as we know it today may cease to be. With each passing year, the advent of new scientific discoveries will bring an even greater complexity into the Navy's weapon systems, particularly manned space craft. There is one element in future armament and automation, that transcends all others, and that is the human element. No matter where the battleground or the weapons employed thereon, man will be the most vital factor and on him will depend the future. If man is to retain his dignity vis-a-vis the machine, then it is paramount that leaders focus attention on that which leads to the preservation of that dignity, the science of human relations.

It is the intent of this paper to examine a few areas of human relations in which the Navy leader is most active. These areas are



communications, motivation, the work group, and discipline. It is within these areas where many Navy leaders are failing, and it is the purpose of this paper to provide a few insights which should help those leaders.

The Navy is no laggard in the field of human relations. Many research projects in this area have had Navy sponsorship. However, it is apparent in this period of technological evolution renewed efforts and more vigorous attempts must be made by leaders to apply what has been learned.

That a rigorous effort must be made and that leadership is failing is attested by the following facts:

- (1) It is estimated that there are approximately 92,000 non-judicial punishments and 48,000 or more courts-martial annually, at this time.
- (2) About 69,000 men per year are awarded some disciplinary action - many are 2nd or 3rd time offenders.
- (3) Unauthorized absence occurs at a rate of about 80,000 per year, or 6,600 per month, ranging from a few hours to more than 30 days. Some 4,000 are determined deserters.<sup>1</sup>

These are a few statistics which point to flagging leadership. If leaders are to correct these problems, they must understand something of the background of their men. The majority who come from excellent homes, have had a good education, belong to a church, and generally have

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Department of the Navy, Bureau of Naval Personnel, Effective Naval Leadership, A Message to Commanding Officers from the Chief of Naval Personnel (Washington: U.S. Government Printing Office, 1958) pp. 8 - 11.







been under good influences prior to coming into the Navy. But unfortunately, practically all of our young people today are exposed to a number of highly unsavory influences in our society.

The nation's crime rate continues to rise. In 1957, teenagers, aged 17 and under, have been arrested for 42.2% of the major crimes. It has been estimated that up to 20% of all youngsters will have been arrested by the time they reach military age.<sup>2</sup>

These foregoing statistics are directly pertinent to the Navy leader of today and of the future. The leader must prepare to meet the challenge.

There is no attempt here to condemn Navy leadership; the purpose is to point out the need for some changes in previous concepts of leadership and a greater need for an understanding of the individual.

Whether Navy leaders like it or not, the unsavory influences and backgrounds of today's recruit is not apt to change in the near future. Leaders will come face to face with these problems, and since manpower is our most precious resource, they must be prepared to cope with human problems. It is my opinion that the majority of Navy leaders are either not now prepared or are failing to act in this area. No one can avoid his share of the burden for better leadership and understanding of the individual. The Navy must remain strong, and strength comes from many sources, most of all, from man himself. If we can add strength to man thru human dignity and respect, the Navy will gain strength. Better human relations provide the key to human dignity and respect and this paper will attempt to show the leader how he should mold the key.

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<sup>2</sup> Ibid.



## CHAPTER I

## HUMAN RELATIONS: APPLICATION TO LEADERSHIP

Human Relations Defined

Human relations, like many words, means different things to different people. To some, human relations is that body of knowledge and facts which deals with human beings in the work place. It encompasses such concepts as motivation, communication, needs, environment, self actualization and cooperation in relationship to achieving the organizations goals or objectives.

Human relations is frequently called a science and this it may be in that it deals with a branch of knowledge. However, it is not a science in the common sense, that is it is not in the category of physics or chemistry.

A better known idea of human relations is the art of getting work done through people by making them happy. This concept also includes the idea that the boss is an intimate friend of his workers, and that everybody belongs to one big happy family.

Still another definition is the idea that human relations is the ability to get along with people and the handling of people with understanding and respect which of course leads to harmony within the group.

Finally, though very broad, the following definition by Dr. Tannenbaum contains many ideas which Navy leaders should add to their repertoire of leadership principles and practices:





Human relations is an ethical system emphasizing the positive good that may result from the right kind of interrelationships among people. It is a spirit of cooperation and understanding among individuals and groups at all levels of the organization; the attitude of one human being toward another; the dignity, the sense of satisfaction, the feeling of security, or the lack of it that individuals have in an organization; how well people get along with one another, showing ethical regard for each other; liking and disliking; considerate behavior; good manners; decencies of relationship in this usage, human relations is both a guide for behavior and a desirable end to be sought.<sup>1</sup>

Dr. Tannenbaum's approach to human relations is not the back slapping, always smiling, jocular manner; rather he means treating people as human persons and recognizing their inherent worth and dignity. In other words, we should take a sincere interest in our fellow man and in our relations with him. If Naval leaders will study such concepts and make an effort to understand and apply them, they will note a big change in the attitudes of subordinates.

#### Human Relations: The Need

The naval leader, to be effective, must comprehend and cope with many administrative, operational and technological fields of endeavor. He is a lawyer, electronic technician, a navigator, an engineer, a communicator and a missile expert, but above all, he should always be a leader. As a leader, his problems will be mostly human problems. Therefore, he must be able to deal with interpersonal and intrapersonal phenomena of his group and this can best be accomplished with an understanding of human relations. The productivity, morale,

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<sup>1</sup> Robert Tannenbaum, Irving R. Weschler and Fred Massarik, Leadership and Organization: A Behavioral Science Approach (New York, Toronto, London: McGraw-Hill Book Company, Inc., 1961) pp. 7-8.





esprit de corps, etcetera, will depend upon how well the leader does his job.

This may sound similar to some old platitudes, but according to a member of the National Research Council ...

the utilization of the results derived from scientific studies of the human factor ... was frequently followed by an increase in personnel efficiency of from 15 percent. This was true in voice communication, in code training, in reading gun sights, and in the firing of flexible guns on B-29's.<sup>2</sup>

If this is an indication of what good human relations practices can achieve, then it is obviously a tool which the naval officer must not overlook.

Further to point up the need for better human relations, the following seems appropriate:

At the present time industry is becoming keenly aware of the importance of employee morale. Management willingly concedes that the state of employee morale affects production, labor turnover, absenteeism, and public relations, all of which can be translated into dollars and cents. However, the impetus for improving morale comes primarily from desire to increase job satisfaction and day to day human relationships.<sup>3</sup>

Scientific research studies contain a plethora of data which bear out the fact that where companies have implemented principles of human relations, production has invariably increased. This is important -- the primary interest of every company is production, particularly if they initiate a change.

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<sup>2</sup> John V. Noel, Jr. (Captain, USN) Division Officers Guide (Annapolis, Md.; U.S. Naval Institute, 1960) pp. 243-244.

<sup>3</sup> Norman R. F. Maier, Principles of Human Relations (New York: John Wiley and Sons, Inc.) p. 1.

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### Navy leaders must not fear cooptation.

Cooptation is the process of absorbing new elements into the leadership or policy determining structure of an organization as a means of averting threats to its stability or existence.<sup>4</sup>

Obviously there are people who will resist change; this is the nature of man. Within the naval leadership program, there has been no dearth of attention to the fact that past answers which worked ten years ago, or even yesterday, may not be good today, but many leaders refuse to change.

Gone are the days when the cat-o'-nine-tails and keel hauling were modes of punishment. These practices are now considered inhuman, but how about malpractices such as forcing a new recruit to sleep with his rifle, acts of personal humiliation, hazing, and the technique of letting the Chief Boatswain teach the recruit proper discipline via a few cuffs on the ear in the boatswain locker. Are not these archaic? Yet, there are those who still advocate such practices which tend to undermine the stability and existence of Navy leadership. For example, the following quotes from an article by Lieutenant Commander Howard R. Lund, USN, and Major Winston D. Chapman, USMC, in the December 1960 issue of the United States Naval Institute Proceedings are along the old lines:

Though the Democratic mind finds it difficult to accept this, maintenance of military discipline demands a moratorium on equality.<sup>5</sup>

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<sup>4</sup> Philip Selznick, "Strengthening Leadership-Cooptation," Human Relations and Administration, second edition, ed. Robert Durbin (New Jersey: Prentice-Hall, Inc. 1961) p. 360.

<sup>5</sup> Howard R. Lund, Lcdr. USN and Winston D. Chapman, Major, USMC. "Sheeps in Wolf's Clothing", United States Naval Institute Proceedings, (Annapolis, Md., December, 1960) p. 68.



Any Commander is reluctant to blemish a service record for an offense which would be most appropriately punished by a "size twelve in the pants," and yet if it is to be punished at all, it must be done in the formal, prescribed manner.<sup>6</sup>

In building military teamwork, the first step to be accomplished, as all must agree, is suppression of individuality.

.....

Unlike industry, we cannot fire the slob and detractor, nor can we take away his rank and position without documentary evidence.

.....

"Mass punishment" is now a despicable crime against military men.

.....

Gone is the tough sergeant, the hard bitten petty officer whose displeasure once meant a day in the head with a toothbrush or ten laps around the drill field with a sand filled pack and rifle at high port.<sup>7</sup>

No attempt will be made to contend all the points in the Lund and Chapman article, but since their ideas epitomize much that is anti human relations, a couple of the foregoing quotes warrant discussion.

The education processes of this country have narrowed the gap between the officers and the enlisted men. Men are aware of their basic rights and believe that all men are created equal. Any attempt by leaders to place a moratorium on equality would result in what smacked of mutiny.

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<sup>6</sup> Ibid.

<sup>7</sup> Ibid.





The authors state "In building military teamwork, the first step to be accomplished, as all must agree, is suppression of individuality." Behavioral scientists tell us that in job placement the individual's ability is of prime importance. The Navy adheres to this concept, "fit the man to the job," also "know your men". These ideas seem to point out one fact. Leaders must account for individualism, for indeed, all of nature is heterogeneous. The snow flakes which fall, the stars in the sky, and man himself, as Dr. A. Rex Johnson the director of this thesis points out, is different from day to day. To endeavor to suppress individualism and self expression is impossible.

Lund and Chapman refer to someone, presumably subordinates, as a slob and a detractor. Webster defines a slob as (1) mud or ooze ... (2) slang - a stupid, clumsy or slovenly person; a detractor is defined as - to take away a part, as from quality, value, ...

Behavioral scientists, as a result of much research, have learned that if you treat a person as a so-called slob, he will tend to react like a slob; if you treat a person like a robot, he will react like a robot. There is a bit of irony here, for both Lund and Chapman are crying for better leadership tools, and if they have attempted to employ some of the diabolical practices which they advocate, it is no wonder they feel a sense of frustration.

Discipline is of vital importance -- it must be positive, fair and humane. Military leadership of necessity must also be authoritarian. There is no contradiction here. An authoritative leader doesn't of





necessity resort to abuse, threats, or brutality, proscribed by democratic principles, in order to get the job done. If subordinates have respect for the leader, their loyalty and integrity will be sufficient motivation to obey orders.

The leader must make an effort to understand the man, his attitude and his behavior.

To deal with a man without account of his pride, inertia, self respect, fears, stupidities, loyalty, and personality is to deal with a slot machine, not a man.<sup>8</sup>

#### Human Relations: Fear

In practicing human relations some people see only the possibility of gains in terms of production or their ability to manipulate their fellow man. Other people fear the possibility that they themselves are being manipulated.

Then there are those leaders who wish to practice human relations but fear the workers will take advantage of them and consider them "soft" or perhaps fear that it is an insidious attempt by the leader to extract more work from them for the companies' benefit.

With reference to the fear of manipulation, subordinates are becoming increasingly better educated and therefore lend themselves less and less to sub-rosa practices. Leaders who resort to "manipulation" are heading for disaster. People are hard to fool -- increasingly so.

There are those leaders who fear that appeals to the emotions are undignified and behind the times. Great men have appealed to human emotions in times of stress with surprising success.

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<sup>8</sup> Calvin C. Thomason and Frank C. Clement, Human Relations in Action (New York: Prentice Hall, 1954) p. 3.





There is no foundation for fear. Leaders and subordinates should realize that human relations is not a new leadership tool, something that has recently been devised to whip mankind into action, but it is a product of the experienced and mature mind.

A mature person is not one who has built up a certain quota of human relationships -- family, friends, acquaintances, fellow workers -- and is ready to call a halt, dismissing the rest of the human race as unimportant, but a person who has learned to operate well in a human environment so that he continues both to add new people to those whom he cares about and to discover new bases of fellowship with those already familiar.<sup>9</sup>

Human relations does not undermine the leader or subordinate. It increases the effectiveness of the command and provides the foundation for mutual respect and understanding in all facets of such a command.

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<sup>9</sup> H. A. Overstreet, The Mature Mind, (New York: Norton and Company, Inc. 1949) p. 43.



## CHAPTER II

## COMMUNICATIONS

The world is surrounded by a sea of words. They motivate every act of daily life -- thinking, recreation, contacts with families and friends. They are so natural to our surroundings that we scarcely ever give them a thought unless they are new or foreign to our own vocabulary. But in this close association with them we fail sometimes to realize their importance to us in our daily lives, as well as to civilization and economic well-being. Imagine, if you can, a United Nations without the millions of words that flow across the desks of the leaders and delegates! Or come closer to our personal, daily living and consider the words that fall upon our ears from all sources, television, radio, conversation, schools, people.

Business, politics, international organizations, all have their own sets of words, peculiar to their particular interests. Communication, through words, is the important separation of man from beast. Without words man would be reduced to the status of an animal, relying on hand signals, or even more archaic methods of communication.

The intricate complexities of our civilization and of our Navy make it imperative that some of the barriers to communications be removed so that clearer messages and ideas can pervade the scene. Much has been written concerning communication. Groups, such as semantics, linguistics, behavioral scientists and lately, the cyberneticians, have been prolific writers in the field of communications and have endeavored to point out some of the problems involved in present day communications.





### Word Meaning

Perhaps one of man's greatest problem in communications is the meaning of words, not necessarily a vocabulary meaning, but the fact that many words mean different things to people they are addressed to. There are at least two kinds of words, with two kinds of meaning. The semantists refer to these meanings as extensional and intensional. The extensional meaning of a word poses fewer problems for man, since they refer to events or objects which are readily recognized. Car, chair, book, and table are good examples of extensional words.

The intensional meaning of a word has many connotations and is the enigma of mankind. Words such as beauty, normal, or wonderful, have different connotations for different people. These intensional meanings cause barriers to communications and nightmares to leaders for it is in this area the receiver associates words with his own feelings and interpretations. When using intensional meaning of words, it is very easy for the receiver to place them out of context.

Language serves a man not only to express something but also to express himself, every executive should realize and explicitly take into account ... Words refer not only to things happening outside our skins, but also to our attitudes, feelings, and sentiments toward these objects and events. This means that many statements are expressed which have little or no meaning apart from the personal situation of the person who makes them. This not only makes interpretation of what people say difficult, but it also makes it imperative to do a skillful job, because if we refer words to a wrong context we are likely to misunderstand what a person is telling us.<sup>1</sup>

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<sup>1</sup> Fritz J. Roethlisberger "The Executives Environment is Verbal" Human Relations in Administration ed. Robert Durbin (Englewood Cliffs, N.J.: Prentice-Hall, Inc. 1961) pp. 310 - 311.



This would seem to be a matter of great importance to all communicators and communicatees. Generally when one speaks, the words reflect the communicator's attitude, feelings and sentiments which are a product of his cultural, social and intellectual environment and therefore carry a different meaning to the communicatee who may be from a different environment. There begins conflict and misunderstanding. This is only one of the problems confronting the leader.

It is important that the leader recognizes that communication figures in all problems of human relations. Wherever there is conflict of misunderstanding, men usually have failed to communicate.

#### Communications Via The Chain of Command

Communications both up and down the chain of command breed many problems which present difficulties to good human relations.

Communications play such an important role in our contact with people that it is paramount for good human relations. Many of the principles of human relations have been discussed throughout this paper, but they can all be cast adrift if the communication system fails to perform its function. Most Navy leaders devote much energy to seeing that the so called "word" (generally orders and directions) is passed down, but the lack of communication up the chain of command seems to be an accepted condition for many of these leaders. Few, if any Navy commands or their leaders have a policy of upward communication. In fact, such a policy is almost nonexistent. Unfortunately most leaders consider communications as a one way street and see no accruing values to letting subordinates express their opinions. They fail to understand







that:

There are many values, however, that accrue to those managers who listen willingly, who urge their subordinates to talk freely and honestly. Upward communication reveals to them the degree to which ideas passed down are accepted. In addition, it stimulates employees to participate in the operation of their department or unit and, therefore, encourages them to defend the decisions and support the policies cooperatively developed by management. The opportunity for upward communication also encourages employees to contribute valuable ideas for improving departmental or company efficiency. Finally, it is through upward communication that executives and supervisors learn to avert the many explosive situations which arise daily ....<sup>2</sup>  
[Underscoring added]

It seems obvious that if communications are not received up the line it is impossible to determine if communications are received down the line. How does a communicator know that his message has been received? Generally by action or reaction from the communicatee; what he does or says. The surprise may come to the communicator when his expected responses are not forthcoming.

Another problem is a lack of understanding rather than a lack of information. Generally when leaders ask that something be done and the reaction is different from that expected, value judgment is injected by the leader, usually in a deprecative manner. In other words, the job wasn't done as the leader visualized it should have been done, therefore he is often critical. It is easy to confuse what one sees with what one feels. However, if a means of upward communications is provided, the leader will generally know in advance that action to be taken is contrary to his desire and can avert trouble and unpleasant human relation problems.

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<sup>2</sup> Earl G. Plantz and William Machaver "Stimulating Upward Communication" Effective Communication on the Job, ed. M. Joseph Doohar and Vivienne Marquis (New York: American Management Association, 1956). pp. 134 - 135.





One other of the foregoing quoted advantages seems germane. Nothing can contribute to a subordinate's motivation like participation in company decisions. Participation gives him a sense of belonging and he feels that he is making a contribution to increasing the efficiency of his department. However, he can submit his ideas upward only if he is encouraged. Many Navy leaders overlook this rich resource of ideas. There is some truth in the old cliché, "Two heads are better than one". Some leaders could profit by heeding to this trite old saying.

Leaders should be aware that even though they provide for the upward flow of information, it won't be forthcoming unless there is some rapport between himself and the group. If the leader is a Captain Queeg type, he is going to get only that information which will keep him happy, a good percentage of which is "gundecked". (falsified). On occasions I have had a superior tell me, "If we turn that report over to the boss he will go thru the overhead". Consequently, the boss never gets the facts. The next query, couldn't you turn it over to the boss, his door is always open? That's a good query, but let's explode the myth of the "open door" policy.

I have been exposed to this policy on several occasions, and only once have I seen it work. If the leader has his eye on the number in the blue book, or is a Captain Queeg, and worries about all group infractions reflecting on his record, he doesn't want the truth. As Pfiffner points out, "much of the difficulty in communications arises





from the fact that people either do not want to tell the complete truth or else do not want to hear it" ...<sup>3</sup>

Pfiffner further explodes the myth of the "open door" policy by pointing out that certain human obstacles prevent its practice.

- (1) The natural apprehension of authority that inhibits many people from expressing even harmless ideas in the presence of superiors,
- (2) the pressure of the management atmosphere that cautions even the bolder workers that it is hazardous to bypass one's immediate superiors,
- (3) the preoccupation of management with its own burdens and its resulting impatience with the seemingly petty complaints of individuals.<sup>4</sup>

In typical situations, anyone who had the temerity to avail himself of the "open door" would be branded as a groveler, troublemaker or malcontent. The leader should therefore recognize that the "open door" policy is not an effective tool of upward communications. This doesn't mean, however, it is not to be used when possible.

There are other impediments to the upward flow of communications. For example, the ability of certain leaders to siphon off or smother gripes and other unsatisfactory information from passing up the chain of command. This procedure is practiced to cover ineptness. Another practice is called dilution or watering down. As each piece of information passes up the line, each leader deletes, corrects or extracts and by the time it reaches the boss, it is highly inaccurate.

Failure to communicate up is one side of the coin, failure to communicate down, the other. While lack of communications down is not as prevalent as the lack of communications up, it can cause many

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<sup>3</sup> John M. Pfiffner The Supervision of Personnel: Human Relations in the Management of Men (New York: Prentice - Hall, Inc. 1951) p. 160

<sup>4</sup> Ibid., p. 153.



problems in the area of human relations.

Communication is identical with the flow of information. There is general agreement that the subordinates want information concerning the organization for which they work; it gives them a feeling of importance and security, and they feel they are part of the group; they belong. There is also general agreement that where the subordinate is well informed, production and efficiency increase. Though most leaders make a concerted effort to get the word down the line, there are certain barriers which inhibit its flow.

Written communications, for example, are often ignored until the inevitable tracer - then hastily initialed and passed on without having been read.

Then there is the leader who deliberately withholds information since this gives him a sense of superiority. This type of leader is also prone to siphon or dilute information for what he calls "the good of the organization". He fails to realize that information worth holding a secret has means of leaking out.

Information passed down must be commensurate with security regulations, but this is not a problem. Leaders must pass down expected operations, ship movement and the organization's goals for only in this manner can the leader promote interest and motivation.

### Motivation

It is not merely sufficient that communications reach the worker, he must be motivated to accept and carry out action. The degree of motivation often depends on how much information was communicated to the worker and how interpreted by him. Fischer points out that:







Evidence is accumulating that the morale of an organization and in large degree its productivity are related directly to the communication process. Employees who know what is expected of them, who know how their work ties in with the objectives of the company, who learn about changes before they take place, will obviously work with heightened interest and enthusiasm. Likewise, their motivation is better if they feel free to discuss problems with their supervisor and contribute to decisions that affect their work.<sup>5</sup>

Too many leaders take the attitude of "what the worker doesn't know can't hurt," but if we are to believe the evidence, it indeed does hurt.

Motivation, or interest and enthusiasm, is the result of the worker being aware of how his work ties in with the objectives of the company; many leaders fail to realize this. Without motivation, work loses its meaning except as a money earning gimmick; only the end product - the pay check seems to count. Lack of information concerning the job reduces the worker to a routinist or a robot with a function only of producing.

Emile Durkheim says of this degradation:

And truly, if he does not know whither the operations he performs are tending, if he relates them to no end, he can only continue to work through routine. Every day he repeats the same movements with monotonous regularity, but without being interested in them. He is no longer a living cell of a living organism which unceasingly vibrates with neighboring cells, which acts upon them, and to whose actions is no longer anything but an inert piece of machinery, only an external force set going which always moves in the same direction and in the same way. Surely, no matter how one may represent the moral ideal, one cannot remain indifferent to such debasement of human nature...<sup>6</sup>

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<sup>5</sup> Frank E. Fischer "A New Look at Management Communication" Readings in Management ed. Harold Koontz and Cyril O'Donnell (New York: McGraw - Hill Book Company, Inc. 1959) p. 213.

<sup>6</sup> Emile Durkheim "Division of Labor and Independence" Human Relations in Administration ed. Robert Durbin (2nd. ed; Englewood Cliffs, N.J.; Prentice - Hall, Inc. 1961) pp. 42 - 43.



The time has come for a new awareness of the importance of communications. The pendulum can swing in the opposite direction and it must, for man's need of information can be fulfilled with effort on the leader's part.

If the leader fails in this direction, the man will then attempt to fill the void himself via the grapevine, or rumor, which is highly disconcerting to worker and the organization.

### The Grapevine/Scuttlebutt

The preceding discussions have been directed toward formal communications. Supplementing formal communications is the grapevine, or scuttlebutt, which is uniformly called informal communications. Most leaders like to think only in terms of formal communications and try to divest themselves of the informal or scuttlebutt, since this has overtones of being undignified. Indeed, few Navy leaders ever devote serious consideration to informal communications and fail to recognize this is an accepted mode of communications. The predominant feeling is that scuttlebutt shouldn't exist within a Navy activity. Leaders, however, must accept the fact that the grapevine cannot be completely abolished.

Scuttlebutt flourishes in periods of indecision, chaos, uncertainty, emotional crises and when bottlenecks proscribe the functioning of formal communications. Scuttlebutt is either pro-organization or anti-organization depending on the behavioral attitudes of its informal leaders.







Scuttlebutt has a tendency to circulate among groups with a community of interest. A slight remark innocently dropped can build up a situation which has no basis of fact, and sometimes leads to disastrous results. If confronted with facts, scuttlebutt tends only to shift emphasis. Allport and Postman observed:

... Information and argument is seldom sufficient to obliterate rumors that feed upon fears and hate. When an anti-semitic charges that the Jews are evading the draft and is then confronted with irrefutable facts proving that Jews are represented in the armed services full in proportion to their numbers in the general population - What does he do - he shifts his rumor (not his hostility) and now says, "yeah, but they hold all the cushion jobs in the Army." Since it is impossible to determine who had "easy" jobs and who had the "tough" ones in the Army, refutation is no longer possible, even if it were profitable. It takes more than correct information and logic to silence the tongue of a motivated rumor spreader.<sup>7</sup>

If scuttlebutt becomes malicious, creating unrest and uncertainty, thereby impairing the stability of the organization, there are two steps the leader may take to combat it. First he may attempt to minimize it, and second, he may attempt to influence it. To minimize scuttlebutt, Pfiffner suggests:

- (1) Disseminate those facts that will tend to make rumors unnecessary.
- (2) Reduce the social distance between top management and the lower supervisors to the end that communication from the top down will be natural and spontaneous rather than forced and strained.
- (3) Open the channels of communications upward so that the sentiments, hopes, emotions and longings of the little people will have a natural outlet rather than explode under extreme stress.



- (4) The supervisory hierarchy should try to understand the emotional elements that cause stress ...<sup>8</sup>

As a supplement to minimize malicious scuttlebutt, the leader may feed information into the grapevine and utilize it as a mode of communication. This can be effective for grapevine communication is fast. Another asset, by keeping tuned to the grapevine, the leader can keep himself better informed.

The leader should recognize that having a grapevine within the activity is natural. There is a lot of truth to the old saying that unless there is scuttlebutt floating around, the crew isn't happy. When people stop talking to each other, there is no rapport within the group, or else the group is abnormal.

### Skills for Communicators

Communication is the sole process through which a leader can function. To perform this function, it requires a sender and a receiver; without receivers, we truly become people shouting at one another across seas of misunderstanding. In order to improve understanding, communications depend upon mastery of the following skills:

- (1) Clarifying the idea or problem
- (2) Getting participation in developing a solution to the problem
- (3) Transmitting ideas or decisions
- (4) Motivating others to take action agreed upon<sup>9</sup>
- (5) Measuring the effectiveness of communications.

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<sup>8</sup> John M. Pfiffner, op. cit. pp. 157 - 158.

<sup>9</sup> Frank E. Fishcher "A New Look at Management Communication" Readings in Management ed. Harold Koontz and Cyril O'Donnell, (New York: McGraw - Hill Book Company, Inc., 1959) p. 212-13.







Implicit in the foregoing is the skill of usage of voice tone.

The ability of the receiver to perceive the difference in the tone of the leader's voice will determine whether or not feelings of hostility and suspicion creep into the receiver's mind. Finally:

No matter how varied the activities or how special some of the skills involved, in the final analysis the job of every executive or supervisor is communication. Essentially, he must get work done through other people, and to accomplish this he must communicate effectively with them. Here, then, is the "X factor" in the manager's job - the extra skill inherent in all his activities that means the difference between success and mediocrity in management.

... Thus communication is the management skill which the supervisor or executive is most frequently called upon to exercise.<sup>10</sup>

### Listening

In modes of communication today, very little stress has been placed on the art of listening, but leaders can readily recognize its importance. Listening plays a lead role in verbal communication which is the primary mode of communicating the leader's desires to the subordinate. Failure to receive and understand the message communicated results in inefficiency and lost time.

The importance of listening is emphasized by Chester I.

Barnard's acceptance theory in which he states:

If a directive communication is accepted by one to whom it is addressed, its authority for him is confirmed or established. It is admitted as

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<sup>10</sup> Frank E. Fischer and Lydia Strong "Communication: The "X Factor" in the Management Job", Effective Communications on the Job, ed. M. Joseph Doohar and Vivienne Marquis (New York; American Management Association, 1956) p. 13.



the basis of action. Disobedience of such a communication is a denial of its authority for him. Therefore, under this definition the decision as to whether an order has authority or not lies with the persons to whom it is addressed, and does not reside in "persons of authority" or those who issue these orders.<sup>11</sup>

Barnard further points up that the necessity of the assent of the individual to establish authority for himself is inescapable. A person can and will accept a communication as authoritative only when four conditions simultaneously exist.

- (1) He can and does understand the communication.
- (2) At the time of his decision he believes that it is not inconsistent with the purpose of the organization.
- (3) At the time of his decision, he believes it to be compatible with his personal interest as a whole.
- (4) He is able mentally and physically to comply with it.<sup>12</sup>

Whether one agrees or disagrees with Barnard's theory is not important, but it is important that the role of the receiver in a communicating situation be recognized by the leaders. It seems that most leaders take a blase' attitude toward the receiver, usually a subordinate. That is, they place the burden of receipt upon the receiver, who in most situations doesn't "get the message." An extensive test conducted at one of this country's leading universities led to the following conclusion:

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<sup>11</sup> Barnard, Chester I., The Functions of the Executive (Cambridge, Mass: Harvard University Press, 1938) p. 163.

<sup>12</sup> Ibid. p. 165







Immediately after the average person has listened to someone talk, he remembers only about half of what he has heard -- no matter how carefully he thought he was listening.<sup>13</sup>

The primary reason for inattention is the ease with which the mind can be side-tracked. The average rate of speech is one hundred and twenty-five words per minute, while the mind is capable of handling four to five times that number. To utilize the spare time, the mind concentrates on other ideas concomitant with listening.

Listening is a dual responsibility, a fact that should not be overlooked. Listening is a facet of good leadership, for the leader lives on a diet of listening situations. Research indicates that leaders spend thirty-five to fifty percent of their time listening to people. The benefits to be derived from listening are:

- (1) A good listener can make better decisions because he has better information.
- (2) A good listener saves time because he learns more within a given period of time.
- (3) Listening helps the communicator determine how well his message is being received.
- (4) A good listener stimulates others to better speaking.
- (5) Good listening decreases misunderstanding.<sup>14</sup>

Leaders who practice listening will find it a boon to leadership and human relations. Too much emphasis has been placed on the other facet of communication, telling, while listening has been overlooked.

<sup>13</sup> Ralph G. Nichols and Leonard A. Stevens, "Listening to People", Harvard Business Review, (September-October, 1957) p. 85.

<sup>14</sup> Keith Davis, Human Relations in Business (New York: McGraw - Hill Book Company, Inc., 1957) p. 240.



Communications should become pluralistic. By listening, maybe we can break out of the "verbal cocoons" of which the semantists speak.

Our lives would be longer and richer if we were to spend a greater share of them in the tranquil hush of thoughtful listening. We are a noisy lot; and of what gets said among us, far more goes unheard and unheeded than seems possible. We have yet to learn on a grand scale how to use the wonders of speaking and listening in our own best interest and for the good of all our fellows. It is the finest art still to be mastered by men.<sup>15</sup>

### The Interview

All matters of an interview should be held in strict confidence. This fact should be communicated to the person being interviewed, and emphasized. At the same time the leader should show real interest in the man, and encourage confidence. Once such confidence has been established, the interview may proceed in one of several directions. There is the indirect or the direct approach. The first, or indirect approach, would possibly follow in the case of minor infractions or personal situations. The direct approach should be used in matters involving more serious infractions - failure to obey an order, etcetera.

It would be important for the leader to investigate fully, reasons for the actions of the person he is interviewing, particularly with reference to the violations. A proper evaluation of cause and effect is a necessary adjunct of anyone in a leader's position.

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<sup>15</sup> Lydia Strong "Do You Know How to Listen?" Effective Communication on the Job. ed. M. Joseph Doohar and Vivienne Marquis (New York: American Management Association, 1956) p. 31.







Then, too, there is "promotion type" of interview conducted for the purpose of evaluating a man's worth in his present job, the wisdom of promoting him in his own department or possibly transferring him to some other billet where his services will be of more value.

There are twelve good rules to follow if one wants to qualify as a good leader or executive:

- (1) Know yourself
- (2) Know the job
- (3) Know the man
- (4) Listen
- (5) Stress acceptance
- (6) Don't hold back criticism
- (7) Criticize constructively
- (8) Observe limits
- (9) Emphasize growth on the present job
- (10) Know what race you want him to run
- (11) Agree on goals
- (12) Set up a time table<sup>16</sup>

A leader or executive who will keep these rules in mind and follow them carefully is bound to achieve a high degree of success.

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<sup>16</sup>Mortimer R. Feinberg "Performance Appraisal and Executive Morale", Management Review, June, 1961, pp. 25-31.



## CHAPTER III

MOTIVATIONCONCEPTS AND NEEDS

Most dictionaries define motivation as providing a motive or an inducement for initiating action. Psychologists translate motive or inducement into the words need or drive. It is the "needs" which man seeks to fulfill. The needs of man may be categorized as physiological and social. The simplest and most primary motivations are generally conceived to be physiological in nature, arising from bodily needs. The more complicated motivations are of a social nature, developing from inter-relationships among human beings.

I think that most psychologists will agree that all behavior is motivated. As leaders, it is this aspect which is of most interest. However, as an end result, leaders should not try to motivate behavior. It is known that man works faster if he is angry or afraid, or if he is subjected to other emotional pressures. The leader therefore should not motivate through fear or pressure, but should attempt to satisfy man's need, thus indirectly his behavior will be motivated. By satisfying man's needs leaders should expect a more stable, emotionally calm subordinate who is free to concentrate on the objectives, doing a good job, rather than worrying about other problems.

One of the most thorough studies into the emotions or motives of human activity discusses three basic needs of man. These are:

- (1) Physical needs - Requirements for food, air, and liquids, clothing, and shelter, activity and rest, relaxation and play.





- (2) Social needs - That he may have "an unassailable feeling of his own value", the individual needs such possessions as affection, sense of "belonging" in groups, feeling that he is well thought of, and that in essential matters he is liked by other human beings.

*spheres.*

- (3) Personal needs - (Personal recognition) ... because personality development requires activity in ever widening social spheres, and involves a steady increasing number of materials, machines, and forces, the individual cannot fail to evaluate himself in terms of his effectiveness in dealing with social and material situations.<sup>1</sup>

The degree of applicability to the individual depends upon his culture or background; the needs of no two individuals are alike. The needs of man change as he grows from childhood to maturity and as his social and economic environment change. As man satisfies one need, emphasis is shifted to another until it is satisfied. To satisfy a need, man will either resort to certain behavior patterns he has used in the past, or he may react on an irrational or rational impulse. Psychologists will usually agree that the construct of a need can be used to account for behavior and that no two people will react in the same manner to satisfy their need.

Psychologists also agree that what motivates one person will not necessarily motivate another, but the leader's job is to assure that man doesn't trudge a fatalistic path, unable to deviate from it. It becomes the leader's job to assist his fellow man in satisfying his needs. For the Navy leader, this is explicitly stated in U.S. Navy Regulations: "A division officer shall keep himself informed of the capabilities and needs of each of his subordinates."<sup>2</sup>

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<sup>1</sup> Calvin C. Thomason and Frank C. Clement, Human Relations in Action (New York: Prentice Hall, 1954,) p. 117.

<sup>2</sup> U. S. Navy Regulations, 1948.

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It would appear, from the three basic needs previously cited, that the Navy leader has a very easy job, since the Navy Department is active in these areas. This is a misconception. The Navy leader has a fertile field and an important duty to fulfill in satisfying even the most common of the physical needs, i.e., food, clothing, and a place to live and sleep.

With a little imagination, any officer in the Navy can make a few refinements to present standards in any of the areas, if needed. For example, the food situation at any Navy activity is important to morale. Although it is the duty of the officer of the deck to check this daily food situation, the division officer and leading petty officers can make frequent checks as this will indicate to the men a continuing interest in their welfare. There are other occasions when food can be a prime factor in motivation. For instance, during the cold winter days, whether on watch or working, a hot cup of coffee or soup will do wonders for the crew's morale. On late watches or overtime working conditions, the division officer and petty officers should insure that the need for food is satisfied.

Although the men's clothing is prescribed by the Navy, clothing can also be a factor in motivation. For instance, the leaders should insure that all men have the full prescribed clothing allowance, for during the rainy seasons they will need their raincoats, etcetera. By insuring that the division is up to allowance, everyone can rest assured that there will be no let downs during a personal inspection and this will help motivate everyone to present his best appearance.







The officers and leading petty officers should insure that every man has sufficient time to acquire the necessary clothing. Once the clothing is purchased, then the leaders should see to it that there is sufficient storage space. This can be a problem, but in the majority of the cases it is a problem that can be resolved.

Laundry facilities are available on most ships. The laundry collection and return often presents many problems. Clothing sometimes either fails to get to the laundry or is lost somewhere in the work process. This is disconcerting, but it is a problem which can be alleviated by the assignment of a responsible person to the job. I hate to lose clothes so I know the crew's feelings toward this situation. Therefore, when I encounter this problem, I assign one of my best men to the job. I first explain that I consider it to be an important task and one that I do not assign haphazardly or indiscriminately. This is said in all sincerity, first because I truly believe it, and second, because I dislike assigning a good man to a menial task. However, the loss of clothing is something easily measured or identifiable and readily lends itself to a cause of discontent among the crew. By solving this problem, the men appreciate the interest, and immediate change in attitude is often discernable. I have often tried this procedure in another menial task area with great success, often double-barreled. This area is food preparation which entails peeling spuds, etcetera. This job is too often assigned to the laggards, malingerers and phlegmatics. By taking a good man, explaining the importance of his job to ship's morale, and to the crew's well being, and building a little pride into the job, a good man in most cases will accept the job with no qualms. The double-barrel aspect comes when the



cook realizes I am also trying to help him and he produces better meals. I am sure this can be partially attributed to the fact that the cook is now able to spend more time cooking with less time devoted to supervision; the results were excellent.

By building pride into the job, I was later able to remove the good men and replace them with average personnel without a noticeable loss in efficiency.

Shelter, another basic need, provides an area for much improvement. Any leader in the Navy can make a contribution in this area; ~~no~~ <sup>good</sup> matter how small, it could be important. For instance, good bedding is an important starting point. At one time in my career, the executive officer, supply officer, and myself were able to replace every mattress in my division, a total of about 37; the reaction was a boon to motivation.

The division officer should conduct group discussions with his men to facilitate other improvements. The stowage problem previously mentioned, lighting, reading material, ventilation, movies, a lounge and many other facets of shipboard life can be improved upon by a dedicated division officer or petty officer. By dedicated, this includes a dedication to one's men.

Physical needs are a big problem, but social and personal needs must also be considered. Of the social needs, group approval seems to be of prime importance. If a man feels that he belongs, then this need is partially fulfilled. If he doesn't belong, he will sometimes act different to draw attention to himself.







If there is a misfit in the group, it is the leader's responsibility to search for the cause. Sometimes the cause may be economic. Social activity is important to the individual worker; he wants to be one of the boys and to conform to the norms established by the group. It is the responsibility of the leader to recommend his men for promotion so they may increase their economic well being. Promotions are a factor of motivation, but they should be earned, not freely passed out.

In satisfying man's greatest personal need of self esteem, it is important that the leader give praise when praise is due. Tell men when they have done a good job. Some people are of the opinion that one should never be commended for doing a job he was obligated to do; this is not true. Commend men for a good performance on ordinary jobs and it will pay off in better performance on all jobs.

Fryer indicates that:

The effect of positive versus negative comment on performance has been rather thoroughly investigated with quite consistent results (Hullock, 1925; Briggs, 1925; Laird, 1925; Gates and Fissland, 1923; Sears, 1936). Public commendation, private reprimand, public reprimand, public ridicule, and public sarcasm were effective in the order named. Hullock's experiment included the finding that either commendation or reproof was superior to being ignored.<sup>3</sup>

Avoid the technique of mopping the floor up with a man followed by praise, or the routine of "you are doing a good job, but," for the workers come to regard this as only shallow praise.

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<sup>3</sup>

Douglas H. Fryer, Edwin R. Henry and Charles P. Sparks, General Psychology, (New York: Barnes and Noble, Inc., 1954), pp. 186 - 187.



Praise is a form of evaluation by management and gives recognition to the worker. As such, it is a prime factor in motivation. The following are some useful guides that a leader should consider prior to praising an individual:

- (1) Praise should be fitted to the individual; thus some knowledge of how he will react is required.
- (2) Consideration should be given to the manner in which praise will affect the morale of other employees.
- (3) Oftentimes praise that reaches an individual in a round-about way is very well received.
- (4) It is often effective from the standpoint of group morale to praise the work rather than the individual worker.
- (5) Praise that is too lavish may lose its effectiveness.
- (6) Be sure that the worker who is being praised believes that it is deserved. He should sense the superior's sincerity and feel that the praise is not given for an ulterior purpose.<sup>4</sup>

While giving praise is an excellent motivator, it has its dangers. It may lead to a slow down in productivity, it may be regarded by fellow workers as favoritism and finally, it may result in the leaders having to use it frequently to keep less confident people at production level. However, regardless of these inherent dangers, praise should be given because it does fill a need, speeding up production and generating good will.

We are consistently finding that there is a marked relationship between the kind of supervision an employee receives and both his productivity and satisfactions which

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<sup>4</sup> John M. Pfiffner, The Supervision of Personnel: Human Relations In The Management of Men (New York: Prentice-Hall, Inc., 1951), p. 252.







he derives from his work. When the worker (or any person at a level in a hierarchy) feels that his boss sees him only as an instrument of production as merely a cog in a machine, he is likely to be a poor producer. However, when he feels that his boss is genuinely interested in him, his problems, his future, and his well being, he is more likely to be a higher producer.<sup>5</sup> Some typical results are shown in Chart I.

CHART I

**"Employee-centered" Supervisors Are Higher Producers Than  
"Production-centered" Supervisors**

	Number of First-line supervisors	
	Production-centered	Employee-centered
HIGH sections	1 #####	6
LOW sections	7 #####	3
HIGH divisions	3	7
LOW divisions	7 #####	4

Economic Motivation

Financial incentives exist throughout the Navy: flight pay, submarine pay, diving pay and proficiency pay for enlisted men. These financial incentives encourage men voluntarily to exert themselves, and to take on duties which are beyond normal obligation. Of course, too much emphasis should not be placed on financial incentives. In many surveys conducted, workers often placed money far down on the list, generally ranking it after security, social satisfaction, a sense of belonging, approval of others, et cetera.

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<sup>5</sup>Rensis Likert "Motivation: The Core of Management", Readings in Management, ed. Harold Koontz and Cyril O'Donnell (New York: McGraw-Hill, Inc., 1959) pp. 257 - 258.



Within the Navy, emphasis is primarily on financial incentives, which is wrong. It does not necessarily attain the desired results and it breeds inequities. Proficiency, diving and submarine incentives should be reappraised.

If men had a good psychological incentive these material incentives might not be necessary. This does not mean leaders should not use financial incentives such as promotions, but they must be used properly.

#### Information for Motivation

Well informed leaders can plan their's and their subordinates' work. There are numerous ways of informing the Navy work groups. There exist such things as the chain of command which emanates from the executive officer, the plan of the day and the ship's intra-communication system. Keeping the men "In the Know" does wonders for morale and performance. An example:

Book and Norvelle (1922) gave school problems to two matched groups, telling one group its score at the end of each practice period but not telling the other, though both groups were urged to do their best. The group with knowledge of results finished with an advantage of 16.5 per cent. Arps (1920) and Crowley (1926) showed that physical exhaustion was apparently compounded of psychological and physiological factors. Subjects who had knowledge of the amount of "work" done on an ergograph (work-measuring apparatus) performed a greater amount of work than when they had no such knowledge.<sup>6</sup>

It is a good policy to follow the chain of command concept when passing out information. By defining the span of control, it is

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<sup>6</sup> Douglas H. Fryer, Edwin R. Henry and Charles P. Sparks, General Psychology, (New York: Barnes and Noble, Inc., 1954), pp. 188 - 189.







possible for the leader to know the people who report to him, and they in turn can know those who report to them.

### Provision for Motivation

Motivation and its relationship to human relations revolve around the interaction between the leader and the people with whom he works.

If the leader expects good performance from the work group, he must get them interested or enthused in the job. This enthusiasm is sparked if the leader can transmit his own enthusiasm and motivation to the work group. Motivation of this nature is an art which is easily learned and easily applied.

Enthusiasm and motivation are enhanced if the leader considers a man's aptitude for the task and his ability to adapt to the situation. Thoughtlessness may lead to failure which breeds ill will and destroys pride, even if failure was forced on the man.

Motivation may be provided by appealing to man's ego. Every man feels he is superior in some way; this is a source of pride. Leaders should cater to this pride rather than concentrate on destroying it.

"Fit the man to the job", is an old maxim, but it is good common sense. Leaders should consider intelligence and experience prior to assignment. Never reduce an intelligent man to inactivity; allow him to work in his field, for practical experience and knowledge are the keynotes to confidence and motivation. Man can perform better if he is "at home" with his work; the talent he brings into the organization must be used to the utmost.



Another factor in motivation is individual energy output. Some people are enervated by midday while others are indefatigable. Keep the high energy person busy, don't beat him down. Inactivity leads to boredom, discontent and other problems.

The leader is often confronted with emotional problems; everyone has his unique breaking point, frustrations and conflicts. Frustration evolves when the task assigned is beyond the mental or physical capability of the worker, or when he doesn't understand the need for doing a job. The recent hunger strike and protest march of a National Guard unit is an excellent example. Here, leaders and antipathy for the task fostered zero motivation.

Life is filled with conflicts; where two things are wanted, if you have one, you can't have the other. Most Navy men are capable of resolving their conflicts but those men who appear lethargic or as malingerers, under closer observation, probably are caught up in a highly charged unresolved conflict. In this situation, a few words of advice, a willingness to listen or other gestures, may be sufficient to avert the incorrect decision.

There are conflicts between two attractive alternatives, but these are easily resolved. It is the abnormal behavior which requires attention, for this is an impasse to motivation.

### Responsibility for Motivation

A good leader should always delegate some responsibility; there is no better motivator. If subordinates feel the leader has faith and confidence in them, they will give their best to prove him right.



1. The first step in the process of identifying a problem is to define the problem. This involves identifying the symptoms of the problem and determining the scope of the problem. Once the problem has been defined, the next step is to identify the causes of the problem. This involves identifying the factors that are contributing to the problem and determining the underlying causes. Once the causes have been identified, the next step is to develop a plan of action. This involves identifying the steps that need to be taken to solve the problem and determining the resources that will be needed to implement the plan. Finally, the last step in the process is to implement the plan and monitor the results. This involves putting the plan into action and tracking the progress of the solution. Once the problem has been solved, the final step is to evaluate the results and determine if the solution was effective. This involves comparing the results of the solution to the original problem and determining if the problem has been solved. If the problem has not been solved, the process may need to be repeated.



The leader does not surrender final responsibility, for he must retain control through supervision. The adopted theory in the Navy is that the leader should continue to check on his subordinates. It is known that close supervision tends to be associated with lower productivity and general supervision with higher productivity.

## CHART II <sup>7</sup>

### Low-production Section Heads are More Closely Supervised Than Are High-production Heads

		Number of first-line supervisors	
		Under close supervision	Under general supervision
HIGH sections	1	#####	9
LOW sections	8	#####	4
HIGH divisions	4	#####	11
LOW divisions	11	#####	5

If the leader knows his men, he is in a better position to judge the amount of supervision required. Some men will require none and will be able to take on more responsibility, while others might require a reduction in their load. The leader must remember that delegation of responsibility and minimum supervision are essential for motivation; however, good judgment is essential.

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<sup>7</sup> Rensis Likert "Motivation: The Core of Management", Readings in Management, ed. Harold Koontz and Cyril O'Donnell (New York: McGraw-Hill, Inc., 1959) op. cit. p. 259.



## CHAPTER IV

THE GROUP: SOME INSIGHTS

This chapter does not concern any particular facet or characteristic of the group. No attempt will be made to set forth any tenets to group leadership. Rather the emphasis is placed on the dynamics of the group, those forces, physical, moral or psychological which tend to act within the group and to affect its behavior.

There are many meanings of the word "group". Albion Small's definition is perhaps pertinent:

The term "group" serves as a convenient sociological designation for any number of people, larger or smaller, between whom such relations are discovered that they must be thought of together ... A number of persons whose relations to each other are sufficiently impressive to demand attention.<sup>1</sup>

The central plan of shipboard organization is departments and divisions, or groups. Thus the leader should focus attention on these areas. There are as many types of groups as there are definitions; external, internal, formal, and informal. In the context used in this paper, "group" refers to a number of persons considered together, engaged in interaction in a single face-to-face assemblage, or a series of such assemblages. A number of people gathered together, though interacting, does not always constitute a group. For example, a gathering of boys for football tryouts is not a group, they are merely a "bunch". When this "bunch" organizes, has a sense of purpose, ideals and goals, then they become a group. These commonalities are essential if individuals are to measure each other.

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<sup>1</sup>Michael S. Olmstead, The Small Group (New York: Random House, Inc., 1959) pp. 20-2, quoting Albion W. Small, General Sociology (Chicago: University of Chicago Press, 1905) op. cit. p. 495.







The leader must have the ability to recognize and understand some of the dynamic forces that come into play in the group. He must know what motivates the group, how they communicate, the animosities existing among the individuals, their interpersonal relations and the group's reaction to other stimuli.

### Types of Groups

Many times in the Navy we hear someone say, "It is a good group". Good groups are characterized by high morale, loyalty, esprit-de-corps, a sense of belonging, commonalities, altruism and self-sacrifice, among its members. The "bad" lack these features, have little, if any pride in the organization or in themselves, are generally anti-leader and prone to restrict output.

Groups may also be cooperative or competitive in nature. The cooperative group is characterized by internal cohesion and its members tend to focus on the group goal rather than on individual goals. In contrast, the competitive group is characterized by the attitude of every man for himself; a dog-eat-dog atmosphere. There is little or no cohesion. This group has the characteristic of what psychologists call low polarization. In a study dealing with groups, cooperative and competitive in nature, some interesting results evolved. It should be noted that within the cooperative groups, individuals were rewarded in terms of success of the group as a whole, while in the competitive groups, members were rewarded for their individual contributions. The study revealed that:



... the interdependent relationship in which cooperation is rewarded seems to lead to strong motivation to complete the common task and to the development of considerable friendliness among the members.... Finally, this type of relationship [cooperative] is characterized by a highly communication process which tends to promote maximal publication of ideas and great mutual influence ... There was no clear difference between the two types of groups in terms of the amount of individual learning which occurred ..., but with respect to group productivity the cooperative groups were clearly superior.<sup>2</sup>

From the evidence research renders, it seems paramount for the leader to orient the group toward one goal, rather than several goals. The group goal should take precedence over individual goals; high polarization is needed for high productivity. In the foregoing, it is not intended to imply that the group goal should take precedence over the individual's needs. The converse is true, except in unusual circumstances.

### Why Groups Exist

The primary reason for the existence of the group is the satisfaction of individual needs. An individual belongs to a group and is satisfied with the affiliation as long as he accrues some advantages, either social, physical or psychological. When the disadvantages outweigh the advantages, such an individual leaves the group. To illustrate is the case in the Navy when a man goes AWOL.

*Thibaut*

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<sup>2</sup> Michael S. Olmstead, The Small Group (New York: Random House, Inc. 1959) p. 91 quoting Harold Kelley and John Thibaut "Experimental Studies of Group Problem Solving and Process", Handbook of Social Psychology, Vol. II, p. 750.



There is a considerable amount of  
 information in this volume which is  
 of the most important kind, and which  
 will be of great value to the  
 student of the history of the  
 world. The volume is well  
 illustrated, and the text is  
 clear and concise. It is a  
 very good book, and one  
 which should be read by  
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People are generally gregarious in nature, with a strong desire to be liked, congenial, and to have social status among fellow men. However, groups would not exist if these were the only benefits. Group membership must provide for two of man's most prevalent needs, ego and prestige. Man's ego is important; if he can establish an office for himself which has prestige, status and influence, he satisfies that ego. A group can provide the environment necessary to fulfill these needs.

Groups also satisfy financial, recreational, recognition, and loyalty needs and are a means of accomplishing that which man could not do alone.

#### Group Decision Making

Leaders often regard the group as a horde of individuals incapable of having constructive thoughts; hence the group is never consulted or asked to participate in the decision making process. Some leaders fear reliance on the group is admission of weakness. Again Olmstead write on this succinctly --

That in many simple tasks ... groups are superior to individuals. Groups give more correct solutions, they have better learning and better recall ... they make fewer errors and they detect them more quickly.<sup>3</sup>

Leaders must convince subordinates that a free exchange of ideas, suggestions, and constructive criticism are welcomed, with no fear of reprisals. Sincerity is paramount. In the Navy, there are many situations where the leader may employ the group decision making process.

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<sup>3</sup> Michael Olmstead, The Small Group (New York: Random House, Inc., 1959) p. 86, quoting Harold Kelley and John Tibaut. "Experimental Studies of Group problem solving and Process", Handbook of Social Psychology, Vol. II, p. 733.



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To avoid pitfalls, leaders should limit group discussions to a few meaningful topics until the technique is assimilated. These group discussions are not for the purpose of setting policy, but to assist the leader in gathering facts for decisions.

Some tenets of group decision making are:

- (1) Increase motivation
- (2) Improve communication
- (3) Provide unification
- (4) Improve human relations
- (5) Helps train the individual
- (6) May strengthen the individual in regards to sense of obligation to duty.

If the work group is expected to orient its behavior toward the successful accomplishment of the organization's goals, it must be allowed to participate in the setting of the pattern.

#### Some Group Problems

There is nothing simple about human behavior. When men join together in groups, new complexities are introduced. A structuring of interaction between people results; new dimensions of interaction and tension are created. Some of the most common group problems are:

- (1) Conflict or fight ... Fight here means disagreement, argumentation, the nasty crack, the tense atmosphere, conflict. Some ways in which fight can be expressed are:
  - (a) Members are impatient with one another..
  - (b) Ideas are attacked before they are completely expressed.
  - (c) Members take sides and refuse to compromise.
  - (d) Members disagree on plans or suggestions.
  - (e) Comments and suggestions are made with a great deal of vehemence.
  - (f) Members attack one another on a personal level in subtle ways.
  - (g) Members insist that the group doesn't have the know-how or experience to get anywhere.





- (h) Members feel the group can't get ahead because it is too large or too small.
  - (i) Members disagree with the leader's suggestions.
  - (j) Members accuse one another of not understanding the real point.
  - (k) Members hear distorted fragments of other members' contributions.
- (2) Apathy and nonparticipation -- An apathetic membership is a frequent ailment of groups. Groups may suffer in different degrees from this disease. In some cases members show complete indifference to the group task, and give evidences of marked boredom. In others, apathy may take the form of a lack of genuine enthusiasm for the job, a failure to mobilize much energy, lack of persistence, satisfaction with poor work.
- (3) Inadequate decision making -- Getting satisfactory decisions made is often a major struggle in the group ... If the group swings between making too rapid decisions and having difficulty in deciding anything, if the group almost makes the decision but at the last minute retreats, if the group members call for definition and redefinition of minute points, if the discussion wanders into abstractions, then there has been premature calling for a decision, or the decision is too difficult, or the group is low in cohesiveness and lacks faith in itself.<sup>4</sup>

There are other inherent group problems of which the leader should be aware. Individuals rarely belong to a single group, they belong to several. To each group the individual brings a carryover of influences which may lead to a synthesis of values and judgments. This overlapping of groups may result in a unique reaction and various consequences for the individual. Watson and Lippitt observed four different ways in which foreign students cope with the problem of overlapping membership, which may provide the leader with a fundamental insight into what may be expected:

- (1) Some students solved the problem by "living in the present" at all times. When they were in the American culture all their energy and attention was directed to being an acceptable member of this group ... When they returned ... they used the same type of solution, quickly shifting ... to fit back ....

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<sup>4</sup> Leland P. Bradford, Dorothy Stock and Murray Horwitz, "How to Diagnose Group Problems", Group Development: Selected Reading Series, (Washington, D.C.: National Training Laboratories, 1961) pp. 37,40,44.





- (2) Other individuals chose to keep their other membership the dominant one while in this country ...
- (3) Others reacted in a sharply contrasting way by identifying wholeheartedly with the present group and by rejecting the standards of the other group as incorrect or inferior at the points of conflict ....
- (4) Some few individuals seemed to achieve a more difficult but also more creative solution. They attempted to regard membership in both groups as desirable ...<sup>5</sup>

Another group problem of mutual concern to leaders and subordinates is commonly called the norms, or code, of the group. The codes most effective weapon is internal pressure, though physical violence is sometimes used to force members to fall into line with objectionable ideals. The subordinates or workers code provides that

- (1) You should not turn out too much work. If you do you are a "rate buster".
- (2) You should not turn out too little work. "If you do you are a chiseler".
- (3) You should not tell a supervisor that which reacts to the detriment of an associate. "If you do, you are a squealer."
- (4) You should not attempt to maintain social distance or act officious. If you are an inspector, for example, you should not act like one.<sup>6</sup>

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Dorwin P. Cartwright and Ronald Lippitt "Group Dynamics And The Individual", Group Development: Selected Readings Series, (Washington, D. C.: National Training Laboratories, 1961) pp. 21-22.

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George C. Homans, The Human Group (New York: Harcourt, Brace and Co. 1950) p. 79.



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### The Individual in the Group

A group is comprised of individuals who never cease to act like individuals merely because they belong to a group. In the group, individuals interact and influence each other, they tend to form cliques which influence other cliques as well as the group as a whole.

Individuals usually join a group only if that group offers some reward or satisfies a personal need. In the armed forces, for example, the draft may force the individual to join a group. In such instances he may not be satisfying any need, and though he may perform, it is not necessarily performing satisfactorily with the team. The individual may be marking time, for psychologically he has decided there is nothing to be gained from belonging to the group. Many of the officers and enlisted men leaving the Navy today feel this way. This may well be the leader's fault, for everything he does on the job has some effect on the individual.

Individuals frequently set their pattern of behavior depending on association with people. Similarly, they may act different toward the commanding officer or executive officer than with their division officer.

A sincere concern for the needs of the individual should be the prime motivator of a good leader.

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## CHAPTER V

DISCIPLINE

Until human nature attains greater perfection, the fullest measure of individual freedom of action can be realized only within the framework of an expressed discipline. In the social situation, this takes the form of laws; in industry, it is manifest in standards. Firmness in securing conformity in both instances is wholly consistent with our democratic approach. But the requirements must be fair, the reasons behind them must be clear, and, insofar as possible, they must be arrived at cooperatively. This is the road to self-discipline; this is the aim of wise leadership.<sup>1</sup>

Webster defines discipline as "self training", that is, the leader trains himself in the proper execution of those rules and regulations set forth by his organization. Once the Navy leader has disciplined himself to the rules and regulations and the traditions which have become the Navy's unwritten code, then he can expect from his men the type of discipline spoken of by Admiral Arleigh Burke:

A well disciplined organization is one whose members work with enthusiasm, willingness, and zest as individuals and as a group to fulfill the mission of the organization with expectation of success.<sup>2</sup>

The main purpose of self discipline is to encourage people to take action when the supervisor is not on the scene. Everyone does his job, and no work is left for the other fellow. Everyone can depend on everyone else to perform and they know that in combat, a well disciplined teammate will hold up under pressure.

The discipline of which we are speaking is not synonymous with the common known definition of the word which usually connotes strict and unusual

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<sup>1</sup> Paul Pigors and Charles A. Myers. Personnel Administration (New York: McGraw - Hill Book Company, Inc. 1951) p. 231.

<sup>2</sup> RADM Arleigh Burke, USN, Discipline in The U. S. Navy, NAVPERS 91195, (Washington, D.C.: Bureau of Naval Personnel, 1950) p. 1.



punishment for infractions of the rules. This is negative discipline. Rather, we are speaking of positive discipline which encompasses training and the belief in the inherent dignity and importance of the individual. Positive discipline is the belief that the individual is created in the image of his maker, that inherently he desires to do what is right, and that he is endowed with creative ability, and with proper training and guidance, he will do the right thing with or without specific supervision. Training is an important facet of good discipline, since men can learn discipline.

While authority is necessary, and fear of punishment can be useful, the ultimate goal is self control. Self control is not a matter of choice, for the leader it is a must. The majority of men coming into the Navy today are still in their teens; leaders have an obligation to these people, their parents and the country, to train and teach them <sup>Teach</sup> positive discipline. In this way he is disciplining them just as surely as by punishing them after an infraction, but in a much more productive manner. Action such as the following on the part of the leader will help achieve positive discipline:

- (1) Maintain a general attitude of approval of the Organization. A feeling of distrust on the part of the leader is soon transmitted to the men and causes a general sense of insecurity.
- (2) Let his men know what is expected of them. This can be done by formal directives and by clear verbal instructions.
- (3) Keep his men informed of their mission in any specific job. A man works better when he fully understands the relationship of what he does and how he does it to the whole task of operation.





- (4) Let his men know that their officers are behind them as long as they perform their duties to the best of their abilities.
- (5) Keep his men informed on the progress they are making. This is equally important whether the work is good or bad.
- (6) Keep his men informed, within security restrictions, of any changes which will affect their future.
- (7) Assure his men by his actions that each will receive fair and impartial treatment.
- (8) Improve his own professional ability. Enlisted men have been asked what they think makes a good leader. They say they like and respect professional competence in a leader more than any other single attribute.
- (9) Delegate authority, with corresponding responsibility,<sup>3</sup> as far down in the organization as competence exists.

These are not just principles of positive discipline, rather they apply equally as well as tenets of good human relations.

However, negative discipline is still a necessity. Leaders must have a weapon to cope with those individuals who fail to respond to positive discipline. Negative discipline should be used only as a final resort since harsh punishment may correct one problem, but create a host of new ones or other undesirable behaviors within the person punished.

Punishment is considered a poor training device and an inadequate tool for good discipline. There are many forms of punishment which can be administered in the Navy, ranging from a caution, or letter of warning, to the death penalty. All forms of punishment meted out on board ship should emanate from the commanding officer's mast. The reason for this is obvious.

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<sup>3</sup>Malcolm E. Wolfe et. al, Naval Leadership, 2nd ed. (Annapolis, Md., United States Naval Institute, 1959 ) p. 196.





Commanding officers and leaders must understand that there are no stock punishments for discipline purposes. No individual responds or reacts to the same stimulus. Some will respond to a verbal reprimand, while more severe methods are necessary for others.

Leaders must take all possible steps to assist their subordinates in correcting and adjusting to problems before a flagrant violation results in a court-martial. The leader accomplishes this by utilizing the interview to warn caution, and assist the subordinate in taking corrective measures to repress problems and reduce probable punitive action.

Punitive action often results when leaders fail to be consistent or provide security for the individual. Subordinates can not function properly in an ambiguous atmosphere. Too often leaders let minor infractions pass unheeded with a pseudo rationalization that they are being lenient and not over critical. It is much better for all concerned if these minor infractions are corrected, immediately, for failure to do so places the subordinate in a confusing position; then he is unable to differentiate between what is permissible and what is not. Too, if one person gets by with an infraction, others will follow, and sooner or later, punishment must be meted out against all violators.

There is a certain paradox here, for it has been pointed up that the leader must look out for his men, he must know them and be sufficiently close to them to understand their needs and problems, and now we say he must also punish them. However, this is his responsibility, but if carried out promptly, fairly and firmly, subordinates will respect the leader. Subordinates resent and distrust a leader who does not live



up to his responsibilities. Leaders are cautioned to remember that the punishment meted must be accepted within the established social democratic confines of the American public.

The changing times call for a more rational and perhaps more idealistic type of discipline - benevolent autocracy.

In a nut shell, it assumes that most employees, regardless of their positions in the enterprise, have very real needs for security, for a well defined structure in which to work, for opportunities to make contributions within this structure, for supervision which is permissive and supportive, and for an opportunity to feel that they have some voice in their own destinies. They must have confidence that the holder of ultimate power in top management, the "father figure" in the enterprise, while powerful and prestigious, is also personally interested in them and in their problems. It is especially important for them to believe that he is prepared to take prompt remedial action on all valid complaints which are brought to his attention. The benevolent autocrat structures his subordinate's activities for them; he makes the policy decisions which affect them; he keeps them in line and enforces discipline ... He may encourage participation in the planning of a course of action, but much less frequently does he do so in its execution ... He encourages participation by his subordinates prior to reaching his decision.<sup>4</sup>

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Robert N. McMurry "The Case for Benevolent Autocracy", Harvard Business Review - Jan. - Feb., 1958), p. 88.





## CHAPTER VI

CONCLUSIONS

Statistics show that something is wrong with Navy leadership. Perhaps part of this problem may be traced back to the caliber of enlistees. But it must be assumed that once accepted, these men become the Navy's responsibility and it must seek by proper leadership to mold them into the accepted types, regardless of their diverse background.

As pointed out before, leadership means doing things with people as equals, not treating them as inferiors. A leader's personal philosophy toward man around him help determine his success. His attitude is more significant than his technique.

Leaders need to reexamine the possibilities of participation by subordinates in the three aspects of any job planning, executing, and evaluating. Participation keeps people informed, provides a sense of belonging and the incentive to execute decisions.

Underneath all leadership lies the bedrock nature of man. We cannot understand the factors of leadership without understanding adult human behavior ... <sup>1</sup>

Human relations is not simply a set of principles or rules which we can study and become good leaders. It is a democratic philosophy, an ideology which recognizes that individuals account for something - at least as human beings. To recognize this pays off; failure to do so invites disaster.

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<sup>1</sup> Calvin C. Thomason and Frank C. Clement op. cit., p. 2.





A controlling factor in the character of human relations is the communication system. Barnard believes

- (a) Channels of communication should be definitely known.
- (b) Objective authority requires a definite formal channel of communication to every member of an organization.
- (c) The line of communication must be direct or short as possible.
- (d) The complete line of communication should usually be used.
- (e) The competence of the persons serving as communication centers, that is, officers, supervisory heads, must be adequate.
- (f) The line of communications should not be interrupted during the time when the organization is to function.
- (g) Every communication should be authenticated. (Persons communicating must be known to occupy the "position of authority" concerned).<sup>2</sup>

As has been pointed out, good human relations require communication to and from the leader. This medium provides a means for directing work, administering reward and punishment, knowing subordinates, diagnosing misconception, tension and problems, and gives the leader an indication of his own performance.

Communication has another important purpose, that of making a man feel he is important; this may be engendered by giving new important tasks to perform. Also, it is vital that such tasks, when properly performed, be properly recognized.

The group is important for here is where the work is accomplished. The leader must acquire the cooperation of the group; if not, it will

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<sup>2</sup> Barnard, op. cit. pp. 173-180.

and the following shall be considered as a part of the same:

ARTICLE IV. - GENERAL PROVISIONS.

- Section 1. The Board of Directors shall have the right to make and alter the bylaws of the corporation. (1)
- Section 2. The Board of Directors shall have the right to elect or remove any officer or director of the corporation. (2)
- Section 3. The Board of Directors shall have the right to make and alter the charter of the corporation. (3)
- Section 4. The Board of Directors shall have the right to make and alter the rules of the corporation. (4)
- Section 5. The Board of Directors shall have the right to make and alter the regulations of the corporation. (5)
- Section 6. The Board of Directors shall have the right to make and alter the policies of the corporation. (6)
- Section 7. The Board of Directors shall have the right to make and alter the procedures of the corporation. (7)
- Section 8. The Board of Directors shall have the right to make and alter the methods of the corporation. (8)

It is the policy of the corporation to maintain the highest standards of integrity and honesty in all its dealings. It is the policy of the corporation to maintain the highest standards of efficiency and economy in all its operations. It is the policy of the corporation to maintain the highest standards of service to its customers. It is the policy of the corporation to maintain the highest standards of respect for its employees.

The Board of Directors shall have the right to make and alter the bylaws of the corporation. It shall have the right to elect or remove any officer or director of the corporation. It shall have the right to make and alter the charter of the corporation. It shall have the right to make and alter the rules of the corporation. It shall have the right to make and alter the regulations of the corporation. It shall have the right to make and alter the policies of the corporation. It shall have the right to make and alter the procedures of the corporation. It shall have the right to make and alter the methods of the corporation.

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oppose his demands, and work counter to the purpose set. The restriction of output is a known characteristic of the group, but it is less effective or prevalent when the leader focuses on human relations vice production.

Many leaders associate group attitudes with subversive attitudes, but the two are not synonymous. Research indicates that where the leader assists the group in fulfilling its needs, and when he practices human relations, the group sets and accomplishes goals far beyond the expectations of the leaders.

This attitude reflects a well disciplined group, trained to work and fight courageously. Good conduct, smart appearance and pride in their Navy also reflect group discipline. Another word closely associated with discipline is punishment; the two are not the same. Punishment results when discipline fails.

Good human relations cannot be either window dressing or deliberate manipulation and it had better not be just sweetness-and-light. There is no reason why it should not have some spine and firmness. Sometimes people are more insecure if you pat them than if you always let them know where they stand and why, which obviously means sometimes punishing them; they will take it and like it if they deserve it...I have no protest against the practice of human relations... treating the "other fellow" as a human being with needs and wants of his own. There is no possible argument there. If your approach is based on taking action and feelings of others as being a part of reality ... and trying to understand the strength and weaknesses of others (and yourself) just because all people are human beings; and therefore you are interested in them, then your toughness will be respected if it is called for and your kindness will be accepted as being sincere.<sup>3</sup>

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<sup>3</sup> Edward C. Bursk, Human Relations for Management (New York: Harper and Brothers, 1958), p. viii.





The lack of human relations is crucial in the administration of the Navy. To run this complex organization, and to get the job done, leaders should rely on more than their badge of authority.





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